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INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

2003 LEARNING OPPORTUNITIES GRANTS

*Grant Application
and Guidelines*

Application Deadline:

January 15, 2003

For information, call

IMLS: (202) 606-8539



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Dear Colleague:

For the past 25 years the General Operating Support program at IMLS has recognized excellence in museum operations and encouraged the best in museum practice. A comprehensive review of the program was begun nearly two years ago. Through dialogue with museum professionals throughout the country and a nationwide survey IMLS found that there were many aspects of the program that were highly valued. These included flexibility in use of funds and the ability of the program to reach museums of all types and all sizes.

IMLS also took a close look at the untapped potential in the program and found that grants for unrestricted operating expenses, while highly valued by museums, provided little opportunity to demonstrate program impacts. These guidelines for Learning Opportunities Grants are a step in transitioning away from unrestricted operating support. The goal of this transitional program is to continue to provide museums with broad flexibility in use of funds and to support museums of all types and sizes, while greatly improving the program's capacity to document and leverage its achievements.

Some aspects of the new program include:

- a streamlined grant application form;
- more opportunity for smaller awards;
- grants to strategically improve museum operations;
- clear goals and opportunity to leverage achievements;
- assistance with evaluation.

For FY 2003, the Learning Opportunity Grants will offer funding for museums to address one or more strategic goals:

- building public access;
- expanding educational services;
- reaching families and children; and
- using technology more effectively in support of these goals.

In FY 2004, IMLS expects to introduce a comprehensive new funding program, building on this one-year interim Learning Opportunities program, as well as on results of the GOS evaluation. GOS, the oldest funding program at IMLS, will be replaced by an updated program that will focus on building museums' capacity to meet the learning needs of their communities.

We hope that many of you will continue your generous gift of time and expertise in serving as reviewers and panelists, and ask that you contact IMLS if you are interested. IMLS values its partnership with the museum field and recognizes the fine results that come from working together.

Sincerely,

Robert S. Martin, Ph.D.
Director

2003 Learning Opportunities Grants Program Overview

Continuing its commitment to building the effectiveness of museums as they meet their institutional missions, the Institute of Museum and Library Services is refocusing its former General Operating Support grants to meet the changing needs of museums in the 21st century.

For FY2003, as the evaluation and study of GOS continues, IMLS will offer a one-time funding opportunity for museums (Learning Opportunities) to address one or more strategic goals:

- building public access;
- expanding educational services;
- reaching families and children; and
- using technology more effectively in support of these goals.

The Learning Opportunities funding program will encourage museums to invest in their abilities to use their collections and services to **strengthen learning in the schools, in the home and in partnership with other community organizations**. These activities may include new applications of technology, such as greater outreach through technology, participation in digital networks and the development of new online learning tools.

The emphasis of the Learning Opportunities funding program reflects IMLS' conviction that one of the wisest uses of federal dollars in museums is **strengthening their capacity for education and public service**. The program supports the necessity of museums to define their own greatest needs. Applicants will define how funding to enhance public service, education and/or technology can best be used to advance their own strategic agendas.

IMLS is especially interested in how requested funding will further the mission and goals of each applicant as it moves toward greater public service.

FY2003 Learning Opportunities funding supports the goals articulated by our nation's museum service organizations as they recognize a strengthening need for museums to be **active resources for lifelong learning and key players in the establishment of livable communities**. These grants, likewise, support the efforts of museums to upgrade and **integrate new technologies into their overall institutional effectiveness**. IMLS' completed study of the technological capacity of museums of all sizes clearly identifies the lack of available funding resources and highlights a profound concern that museums are on unequal footing with many other kinds of cultural and educational institutions in their application of current technologies.

Program at a Glance

Deadline:	January 15, 2003
Matching Requirement:	1:1
Amount of Grant:	\$5,000-\$150,000
Eligibility:	See pages 1.3–1.4
Grant Period:	Up to Three Years
Program Contact:	Christine Henry, 202/606-8687, chenry@imls.gov

PROGRAM DESCRIPTION

Continuing its commitment to building the effectiveness of museums as they meet their institutional missions, the Institute of Museum and Library Services is refocusing its former General Operating Support grants to meet the changing needs of the 21st century. For FY2003, as the evaluation and study of GOS continues, IMLS will offer a one-time funding opportunity for museums to address one or more strategic goals:

- building public access;
- expanding educational services;
- reaching families and children, and
- using technology more effectively in support of these goals.

GRANT AMOUNTS

Grants will be made in three broad funding categories, based on requested funds. Applicants may request funding in one of three funding categories:

Funding Category 1	Requests between \$5,000-\$24,999
Funding Category 2	Requests between \$25,000-\$74,999
Funding Category 3	Requests between \$75,000-\$150,00

Awards will be made across all funding categories, in amounts proportional to applications received.

All federal funds must be matched on a 1:1 basis with non-federal resources. The match may be cash, donated services, staff time or other in-kind donations.

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PART 1

**GENERAL
INFORMATION**

Eligibility Criteria

To be eligible for IMLS support, your museum must:

- be organized as a public or private nonprofit institution that exists on a permanent basis for essentially educational or aesthetic purposes; *and*
- care for, and own or use tangible objects, whether animate or inanimate, and exhibit these objects on a regular basis through facilities which it owns or operates; *and*
- have at least one professional staff member or the full-time equivalent, whether paid or unpaid, whose primary responsibility is the acquisition, care or exhibition to the public of objects owned or used by the museum; *and*
- be open and provide museum services to the general public (an institution which exhibits objects to the general public for at least 120 days a year fulfills this requirement); *and*
- be located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

WHO MAY APPLY

Each museum may submit only one Learning Opportunities application during a given fiscal year. The following are among the types of museums that may apply:

Aquariums	Historic Houses/Sites
Arboretums	Nature Centers
Art Museums	Planetariums
Botanical Gardens	Science/Technology Centers
Children's/Youth Museums	Specialized Museums
General Museums	<i>(limited to a single, distinct subject)</i>
<i>(with two or more significant disciplines)</i>	Zoological Parks
History Museums	

Federally operated museums may not apply for Learning Opportunities funds.

MUSEUMS WITHIN MULTIPURPOSE ORGANIZATIONS

Museums located within multipurpose public or private nonprofit organizations such as municipalities, universities, historical societies, foundations, and cultural centers may apply for Learning Opportunities funds. To be eligible, a museum located within a multipurpose organization must function as a discrete unit within its parent organization.

In addition, the museum must:

- have at least one full-time professional staff member, or the equivalent, paid or unpaid, whose responsibilities are solely for the museum's services and operations; *and*

- have a fully segregated and itemized operating budget within that of its parent organization; *and*
- be able to separately and distinctly fulfill *all* Learning Opportunities eligibility and application requirements.

Support, auxiliary, or parent organizations that apply on behalf of museums which they own or operate or with which they are affiliated are not eligible to apply for Learning Opportunities funds on their own behalf.

Information presented in the application should be *only* that of the eligible museum.

**TWO OR
MORE
MUSEUMS
CONTROLLED
BY THE
SAME
PARENT
ORGANIZATION**

If two or more museums wish to apply that are under the control of one parent multipurpose organization, have shared administrative functions, or have overlapping governing or advisory boards, IMLS requires that *each applicant museum*:

- have an independent governing or advisory body; *and*
- have a separate administrative head with full authority over the museum; *and*
- have a separately developed operating budget within the larger budget of the parent organization; *and*
- be able to fulfill all IMLS eligibility and application requirements.

Prospective applicants that cannot fulfill all of these requirements should contact IMLS to discuss their eligibility before applying. IMLS may require additional supporting documentation from the applicant in order to determine the museum's autonomy. Each eligible applicant within a single parent organization should clearly delineate its own programs and operations in the application narrative.

A parent organization controlling multiple museums that are not autonomous but are otherwise eligible may submit only one Learning Opportunities application, which may be on behalf of one or more of the eligible museums.

Eligible Grant Activities

Learning Opportunities Grants will provide an opportunity for institutions to build their effectiveness in meeting their missions and furthering their strategic (institutional, long range, master) plans. Museums will be able to use Learning Opportunities funds to serve a wider and more diverse public through education, partnership and/or technology. Applicants will define how the funding relates to their institution's strategic agendas in the critical area of public service.

Learning Opportunities Grants are designed to be flexible. They can be used for expansion of ongoing museum activities; improvement of infrastructure; planning activities; purchase of equipment or services; or other activities that will further the institution's commitment to one or more of the following strategic goals:

- Building public access
- Expanding educational services
- Reaching families and children
- Using technology more effectively in support of the above goals

IMLS sees Learning Opportunities Grants as investment grants, and expects that for institutions that receive them the funding will provide:

- Money that will make a difference over time;
- Investment in capacity, not a one-time program;
- Activities related to institutional strategic planning;
- Focus on education and outreach;
- Measurable outcomes.

Eligible expenses include:

- Staffing
- Costs related to planning and maintenance of project partnerships
- Purchase of equipment or services
- Staff training
- Program development and implementation
- Exhibition design and fabrication
- Integration of technology into exhibition or educational programs
- Costs associated with evaluation of grant programs or activities

Types of grant activities funded may include:

- The development of new learning content related to institutional strengths, in digital or traditional formats;
- The expansion of museum activities to support widened access, inclusion and diversity;
- Improvement of existing, or development of new exhibitions to enhance educational services;
- A user-focused and partnership approach (including schools, teachers, parents, community leaders) to enhancing or developing and delivering museum services;

- The development of new staff expertise or institutional services, i.e. community outreach personnel or technology training for museum personnel;
- Integration of technology into essential museum practices; i.e. in support of exhibitions/collections management/educational services/community outreach;
- Educational outreach through online presence, distance learning, multi-institutional digital partnerships, or mentoring relationships.

Grant activities are expected to have quantifiable and measurable outcomes, and grantees will be expected to evaluate the success of the project against the established outcomes. Grantees will submit assessment plans to IMLS for approval within eight weeks after the award is made. IMLS will work with grantees to create these assessment plans. *Information about outcome-based evaluation can be found on the IMLS Web site (http://www.imls.gov/grants/current/crnt_obc.htm) or may be requested from IMLS.*

Non-Eligible Costs

- Contributions to endowment funds
- Acquisition of objects for the collection
- Costs of social activities, ceremonies, and other entertainment
- Pre-award costs (costs incurred prior to the effective date of the grant)
- Construction
- Renovation

Applicable government-wide cost principles are listed in Section 1180.10(a) of published IMLS Regulations, available upon request.

Matching Funds

We will pay up to one-half the cost of the project. Your match may consist of:

- cash contributions
- earned income
- equipment
- in-kind contributions
- materials and supplies

You may *not* use federal funds as your match. In-kind contributions (such as staff time, donated services, supplies, and space) may be used as a match if you can document the donations and if the donations relate specifically to your Learning Opportunities project.

Application Review and Evaluation

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant, the application will be rejected without evaluation. Incomplete applications are subject to rejection without evaluation. If an application is rejected, the applicant will be notified by mail.

Applications will be grouped for review by the following criteria:

- Institution Budget Size
- Funding Category/Grant Request (1, 2 or 3)
- Strategic Goals (Building public access; Expanding educational services; Reaching families and children)

IMLS staff will determine budget size and project type breakdown based on applications received. Some examples of grants that would be grouped for review might be:

- Small museums requesting Funding Category 2 funds for incorporating technology within their operations, allowing better public access to the institution.
- Mid-size museums requesting Funding Category 1 funds to develop or expand a partnership with another institution to better serve families and children.
- Museums with budgets over 6 million, requesting Funding Category 3 funds for expanding an educational program.

All eligible and complete applications will be competitively reviewed. All eligible applications for Learning Opportunities Grants will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities and size of institution identified in the application. Reviewers will be drawn from professionals in the field and from the areas of expertise required.

Reviewers will be instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Applicants should address all evaluation criteria in the Application Narrative. *See Application Evaluation Criteria on pages 2.2–2.3 for a detailed list of the evaluation criteria.*

The IMLS Director will make funding decisions based on the evaluations by reviewers, the stated priorities for funding and the overall goals of the Learning Opportunities Grants program and of IMLS.

Becoming a Reviewer

The Institute of Museum and Library Services has a new program that provides funds to help museums meet their missions, serve their communities, and implement their strategic plans.

We would like you to participate as a reviewer for this program.

You would be a good reviewer if you have:

- Knowledge of basic museum operations
- Knowledge of planning and lifelong learning in a museum setting
- Ability to critique project proposals

To become a reviewer, please go to http://www.imls.gov/grants/review/rev_how.htm

New for 2003: IMLS anticipates, pending Congressional appropriations, to pay its reviewers in 2003.

PART 2

**COMPLETING
THE
APPLICATION
NARRATIVE**

Application Evaluation Criteria

All eligible projects will be evaluated on how well they meet the following criteria:

1. GRANT PROGRAM GOALS

Degree to which the project or program addresses one or more of the following strategic goals:

- Building public access
- Expanding educational services
- Reaching families and children
- Using technology more effectively in support of the above goals

2. STRATEGIC PLAN - MISSION AND FINANCES

Evidence that the museum's strategic (institutional, long range, master) plan had community, board, and staff involvement, and supports the goals and needs of the both the museum and its community. Evidence that the planning activities of the museum also ensure the long term financial stability of the museum (please note: a required attachment is financial statement or audits for the applicant's two previous fiscal years prior to application.)

3. PROJECT - HOW THE PROJECT FITS INTO STRATEGIC PLAN AND MISSION

Evidence that the project or activities fit into and further the institution's strategic (institutional, long range, master) plan and mission. Extent to which the project is of sufficient scope to effect systemic change within the organization and/or expand institutional capacity to carry out the above strategic goals.

4. PROJECT - APPROPRIATENESS FOR INSTITUTION, AUDIENCE

Evidence that the project designers have identified an audience, performed a formal or informal assessment of their needs, and have designed this project as the best solution to answer those needs.

5. PROJECT - DESIGN

Extent to which the project proposes efficient, effective, and successful approaches to accomplish clear goals and objectives. If technology purchase is requested, extent to which it will support the project or activity goals, and further the institution's strategic plan. If partnerships are supported by the grant, evidence that all partners are active contributors to and beneficiaries of the partnership activities.

6. PROJECT - RESOURCES: TIME & BUDGET

Evidence that the project activities will be effectively completed, that the applicant institution is capable of carrying out the project to its successful conclusion through the deployment and management of resources including money, facilities, equipment, and supplies, and that financial management will be sound. Appropriateness and cost efficiency of budget to complete project activities.

7. PROJECT - RESOURCES: PERSONNEL

Evidence that the project personnel are qualified to accomplish project goals and activities. Extent to which personnel commit adequate time to manage and implement the project activities. Extent to which personnel demonstrate appropriate experience and expertise in the specific area the project addresses.

PART 3

**PREPARING
AND
SENDING
THE
APPLICATION**

Preparing Your Application

All application materials must conform to the space limits and be on 8.5 by 11 inch paper. Leave a margin of at least .5 inch on all sides. Use a typeface that contains no more than six lines per vertical inch. Use a typeface with standard spacing between letters and do not use a condensed typeface.

An application requesting Learning Opportunities Grants support should include the following materials organized in the order listed:

1. Face Sheet
2. Statement of Purpose/Mission Statement and History (not to exceed 1 page)
3. Institutional Plan Summary (not to exceed 2 pages)
4. Institutional Financial Statements
5. Narrative (not to exceed 7 pages)
6. Schedule of Completion
7. Project Budget (Detailed, Summary, and Budget Justification)
8. Current, Federally Negotiated Rate for Indirect Costs, if applicable
9. Partnership Statement, if applicable
10. Proof of Non-Profit Status, if applicable
11. List of key project staff and consultants
12. Resume(s) for key project personnel (not to exceed 2 pages per person)
13. Attachments. Please see page 3.5 for more information
14. Grants Processing Information Sheet
15. Signed Assurances Form

FACE SHEET

The Face Sheet is provided as pages 5.3-5.4 in the Application Forms section of this document. Use or replicate this form. Make sure you include both pages and a signature from your authorizing official when you submit this form. This page is available as a fill-in form on the IMLS Web site.

STATEMENT OF PURPOSE/ MISSION STATEMENT AND HISTORY

Statement of Purpose/Mission Statement (maximum space one 8.5 by 11 inch page). You must submit a statement of purpose/mission statement, which has been formally approved by your museum's governing authority. The statement should accurately portray your museum's purpose or mission. If the statement is too long to quote in full, you may quote from or summarize the statement. **You must note the source, approving body and date of the official document.** You should use the remaining space available on the page to provide a brief history of the museum.

STRATEGIC PLAN SUMMARY

Your strategic (institutional, long-range, master) plan summary should explain the key components of the current plan; methods used to develop the plan, such as institutional self-study or assessment; how the plan is evaluated and updated; and the roles of trustees, staff, consultants, members of the community or others in developing the plan. The summary should also discuss the institution's success in meeting goals established in the plan. Reviewers use your summary to evaluate how your project or activities further your strategic plan.

**INSTITUTIONAL
FINANCIAL
STATEMENTS**

Provide a copy of your museum's financial statements or audits for your past two complete fiscal years.

NARRATIVE

It is essential that your Narrative be legible so that reviewers can easily read the information you provide. IMLS recommends that you produce the Narrative using a word processing system. All pages must be numbered. *Handwritten applications will not be accepted.*

The Narrative must be no more than seven (7) single-spaced, one-sided pages and should identify grant activities, addressing the Application Evaluation Criteria listed on pages 2.2–2.3. Identify where in the Narrative each criterion is discussed. Use headings, bold type, a list of references to page or section numbers, or some other means to lead reviewers to the discussion of each evaluation criterion. Follow the order listed in the criteria. Do not exceed the seven (7) page limit. The Narrative should explain what need the grant activities will meet and should provide sufficient information for reviewers to evaluate all criteria. Detailed budget discussions should be included in Budget Justification, not in the Narrative.

**SCHEDULE
OF
COMPLETION**

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed. The Schedule of Completion should correspond to the activities described in the Narrative. A Sample Schedule of Completion is provided on page 5.8. The applicant need not follow the sample format but should provide the same information, indicating milestones for completion of each major project activity.

**PROJECT
BUDGET**

The proposal must include a Detailed Budget, a Summary Budget and Budget Justification that explain the elements of the Detailed Budget. If appropriate, you must also include information on Federally Negotiated Indirect Cost Rates. The budget should include costs to be supported by IMLS funds, applicant and third party matching and cost sharing, and any costs to be supported by other federal agencies. Only those costs attributable to achieving specific project activities should be included in the budget. *Refer to requirements for Cost Sharing under Conditions of a Grant (page 4.2) in preparing the budget. These budget pages are available as electronic fill-in forms on the IMLS Web site (see page 3.6).*

**DETAILED
BUDGET**

A Detailed Budget should be completed for each year of project activities. Duplicate the budget forms, one set for each year of your project. It should include cost categories identified in the sample budget layout and should identify whether support is requested from IMLS or is contributed by the applicant or third party. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. For services to be outsourced, the applicant should, whenever possible, provide detailed bids and justification of how the proposed contractor was selected. The budget should clearly and specifically identify sources of contributions. For third-party contributions, applicants must indicate whether the contributions are assured or pending. Consultant fees should identify costs by hourly rates or daily fees.

SUMMARY BUDGET

The Summary Budget should show full project costs (all years). It should clearly identify the amount requested from IMLS, the amount provided by the applicant, by any partners and from any other sources for cost sharing and matching (both cash and in-kind support). *This page is available as an electronic fill-in form on the IMLS Web site (see page 3.6).*

BUDGET JUSTIFICATION (NO MORE THAN 2 PAGES)

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services and other expenses. The applicant should provide specifications for all hardware and software for which IMLS funding is requested. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

INDIRECT COSTS

Indirect costs are expenses that relate to the Learning Opportunities Grants project but that cannot be directly tied to project activities. Examples include miscellaneous photocopying, energy costs, and telephone. Items that are included as indirect costs may not also be listed as direct costs in the project budget. To calculate your indirect costs, you must first determine your *modified* direct costs. Your modified direct costs are calculated by subtracting your major equipment purchases or large contracts (\$5000, or the amount your federally negotiated agreement allows) and any restrictions given in your individual indirect rate from your total direct costs; these large items artificially inflate the indirect costs. Next, compute your indirect costs by taking a percentage of your project's modified direct costs according to one of the three methods described below:

- 1) If you *do not* have a federally negotiated indirect cost rate, IMLS will not require you to negotiate one, providing that indirect costs do not exceed 20% of the modified direct project costs, up to a maximum total of \$5000 per award. Should 20% of the modified direct project costs exceed \$5000, you may apply the difference as part of your match or cost share.
- 2) If you *do* have a federally negotiated rate, you must apply that rate to your project budget as specified in your negotiated agreement. IMLS will pay indirect costs *only* on the part of project budget for which you are seeking IMLS funds. Indirect costs applied to the applicant or partner's share of the budget may be included *only* as part of the match or cost share. If you are applying a federally negotiated rate, you *must* include with your application a copy of the rate-negotiation agreement. This rate must be current on the date of *award*, not the date of application. Expired rate agreements will not be considered.
- 3) If you have a federal rate *under negotiation*, but not yet finalized, you may apply that rate to your project budget. IMLS will pay indirect costs *only* on the part of the project budget for which you are seeking IMLS funds. Indirect costs applied to the applicant or partner's share of the budget may be included *only* as part of the match or cost share. You *must* include with your application copies of the rate negotiation documentation. This rate must be current on the date of *award*, not the date of application. Expired rate agreements will not be considered.

**PROOF OF
NON-
PROFIT
STATUS**

If your organization is a private, non-profit organization (if you answered “Private Non-Profit” or “Other” on Line 20 of the Face Sheet) you must submit a copy of the IRS letter indicating your organization’s eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended. IMLS will not accept a letter of state sales tax exemption as proof of non-profit status.

**LIST OF KEY
PROJECT
STAFF AND
CONSULTANTS
AND
RESUMES
FOR KEY
PROJECT
PERSONNEL**

A list of all key staff and consultants for the project should be included as a cover sheet, followed by resumes or vitae of no more than two pages *each* for all key personnel, both staff and consultants.

ATTACHMENTS

Applicants should include documents that specifically relate to the justification for the project. IMLS strongly encourages inclusion of needs assessments, reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature or other documents for the evaluation of the proposal.

**GRANT
PROCESSING
INFORMATION
SHEET**

Grant Processing Information Sheet (page 5.9). You must provide answers to all questions. This sheet is used in part by staff to determine eligibility.

**SIGNED
ASSURANCES**

Complete this section last. To be considered for a grant, the applicant’s Authorizing Official must read the assurances and sign the accompanying certification statement. The Authorizing Official may be the organization’s chief executive officer, an official of the organization or its parent or sponsoring organization authorized to make such commitments on behalf of the organization, or the government official responsible for oversight of the organization. The application is not complete unless it has been signed by the Authorizing Official.

Electronic Fill-In Application Forms

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format for download. Applicants can download the electronic version of an IMLS application form and, using freely available software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Note that the forms cannot be submitted electronically but can be completed online and then printed on the applicant's printer and mailed. **Caution:** the forms cannot be saved, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit <http://www.imls.gov/grants/appl/index.htm>. Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms.

How To Assemble the Application Package

Review your application package carefully before sending it to us. You must include *all* of the required items listed below and the proper number of copies. *Your application is subject to rejection without review if any required item is missing.* If you have any questions, contact IMLS at (202) 606-8539.

ASSEMBLE YOUR APPLICATION PACKAGE AS FOLLOWS

STEP 1: MAKE TWO PHOTOCOPIES OF YOUR FACE SHEET IN ADDITION TO YOUR ORIGINAL.

Extra
Face Sheet
(copy 1)

Extra
Face Sheet
(copy 2)

STEP 2: COLLATE ONE ORIGINAL (COMPLETE) COPY OF YOUR APPLICATION AS FOLLOWS:

Face Sheet
with Signature

Statement of
Purpose/
Institutional
History

Strategic Plan
Summary

Institutional
Financial
Statements

Narrative

Schedule
of
Completion

Detailed
Budget by Year

Summary
Budget

Budget
Justification

Other
Required Docs,
if applicable
(see items 8–10,
p. 3.2)

List of Key
Project
Personnel

Resume(s)
(2 pages
per person)

Attachments
(see p. 3.5)

Grants
Processing
Information
Sheet

Signed
Assurances
Form

TURN PAGE FOR FURTHER INSTRUCTIONS

STEP 3: MAKE TEN (10) IDENTICAL SETS OF THE MATERIAL YOU ASSEMBLED IN STEP 2.

STEP 4: COLLATE YOUR PILES FROM STEP 1-3 AS FOLLOWS:

Extra
Face Sheets
(2 Copies)

STEP 1

Original
Application

STEP 2

Ten (10)
copies of the
application

STEP 3

YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.

Note: IMLS will not do your photocopying or collating!

Sending the Application to IMLS

Mail or hand-deliver Learning Opportunities applications to:

Learning Opportunities Grants

postmarked by January 15

Office of Museum Services

Institute of Museum and Library Services

1100 Pennsylvania Avenue, NW, Room 609

Washington, DC 20506

**MAIL
DELIVERY**

All of the first-class and Priority mail sent to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. **Please consider using commercial delivery services.** Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.

Please be advised that support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage. If you are sending these kinds of materials, we encourage you to consider using alternate delivery services.

Mailed applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation. See deadlines under each category. IMLS recommends certified or registered mail when using the U.S. Postal Service. In the event that a deadline falls on a day U.S. Post Offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.

**HAND
DELIVERY**

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday, and federal holidays. IMLS will provide a dated receipt at the time of delivery.

**IMLS
ACKNOWLEDGEMENT**

Within 30 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

**PROOF OF
MAILING**

IMLS may ask for proof of mailing if the postmark date on the package cannot be read. The U. S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped. IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier. IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U. S. Postal Service. The green return receipt card does not meet the IMLS requirement for proof of mailing.

PART 4
CONDITIONS
OF A
GRANT

Conditions of a Grant

Notification of awards will be made in mid-September, 2003. Generally, project activities supported by Learning Opportunities Grants may be carried out for a period of up to 36 months. Projects may begin no earlier October 1, 2003, and no later than December 31, 2003.

PROJECT ASSESSMENT PLAN

Grant activities are expected to have quantifiable and measurable outcomes, and grantees will be expected to evaluate the success of the project against the established outcomes. Grantees will submit assessment plans to IMLS for approval within eight weeks after the award is made. IMLS will work with grantees to create these assessment plans. *Information about outcome-based evaluation can be found on the IMLS Web site (http://www.imls.gov/grants/current/crnt_obe.htm) or may be requested from IMLS.*

AMOUNT OF GRANT

Learning Opportunities Grants range from \$5,000 to \$150,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than that requested.

COST SHARING

Projects must be matched 1:1 by the applicant; i.e. applicants *must* provide at least one-half of the total cost of the project from non-federal sources. The match may consist of cash, contributions, earned income, equipment, in-kind contributions, and materials and supplies. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply. Learning Opportunities Grants may be used for a broad range of project activities, but may not be used for construction, acquisition of collections, contributions to endowments, social activities, ceremonies, entertainment, or pre-grant costs. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing. All listed expenses must be incurred during the grant period. Government-wide cost principles apply.

PAYMENT, ACCOUNTING, AND REPORTING PROCEDURES

A federal accounting office handles the payment of Learning Opportunities Grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements. Grant recipients may be required to submit one or more interim performance reports; they are required to submit a final performance report and a final financial report. IMLS will establish reporting requirements at the time of award.

**COPYRIGHT/
WORKS
PRODUCTS**

IMLS requires acknowledgement of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports.

**ANNOUNCEMENT
OF AWARD**

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions by mid-September, 2003.

PART 5
APPLICATION
FORMS

Application Checklist

Use this checklist to help you arrange the sections of the application in the correct order.

- ☐ Face Sheet with signature
- ☐ Statement of Purpose/Mission Statement and History (not to exceed 1 page)
- ☐ Strategic Plan Summary (not to exceed 2 pages)
- ☐ Institutional Financial Statements
- ☐ Narrative (not to exceed 7 pages)
- ☐ Schedule of Completion
- ☐ Project Budget Forms
 - ☐ Detailed Budget
 - ☐ Summary Budget
 - ☐ Budget Justification
- ☐ Current, Federally Negotiated Rate for Indirect Costs, if applicable
- ☐ Proof of Non-profit status, if applicable
- ☐ List of key project staff and consultants
- ☐ Resume(s) for key project personnel (not to exceed 2 pages per person)
- ☐ Attachments
- ☐ Grants Processing Information Sheet
- ☐ Signed Assurances Form

Face Sheet

OMB No. 3137-0048

08/31/2005

CFDA No. 45.301

1. Applicant Organization _____

2. Institutional Mailing Address _____

3. City _____

4. State _____

5. Zip Code _____

6. Web Address _____

7. Name of Project Director/Principal Investigator ☐ Mr. ☐ Ms. ☐ Dr. 8. Business Phone of Project Director _____

9. Project Director Mailing Address _____

10. City _____

11. State _____

12. Zip Code _____

13. Fax Number of Project Director _____

14. E-mail Address of Project Director _____

15. Name and Title of Authorizing Official _____

16. Business Phone of Authorizing Official _____

17. Sponsoring institution if applicable (e.g., municipality, state, or university)

☐ check if this entity will manage funds if an award is made. Name and address: _____18. Is the applicant organization university controlled? ☐ yes ☐ no20. Governing control of applicant ☐ State ☐ Municipal ☐ County ☐ Private Non-Profit
☐ Tribal Government ☐ Other, please specify _____21. Type of organization (*check one*)☐ Aquarium☐ Nature Center☐ Arboretum☐ Natural History museum☐ Art museum☐ Planetarium☐ Children's/youth museum☐ Science/technology museum☐ General museum*☐ Zoo☐ Historic house/site☐ Specialized**☐ History museum☐ Other _____

* A museum with collections representing two or more disciplines equally (e.g., art and history).

** A museum with collections limited to one narrowly defined discipline (e.g., textiles, stamps, maritime, ethnic group).

22. Museum's attendance for the 12-month period prior to the application.

Onsite _____ Offsite _____ Electronic _____

23. Total number of hours the museum was open to the public for the 12-month period prior to application. _____

For IMLS Staff Use only:

First Check: ☐ Complete ☐ Incomplete _____ initials/dateSecond Check: ☐ Complete ☐ Incomplete _____ initials/date

24. Museum's non-federal operating income for the most recently completed fiscal year.

Year _____ \$ _____ .00

25. Museum's non-federal operating income for the second most recently completed fiscal year.

Year _____ \$ _____ .00

26. Amount Requested \$ _____

27. Amount of Matching Funds \$ _____

28. TOTAL LOG FUNDS REQUESTED (sum of lines 26 & 27) \$ _____

29. Grant Period (Starting Date) ____/____/____ — ____/____/____ (Ending Date)

30. Please check project type category (**check only one category**)

☐ Building Public Access
Using technology ☐ yes ☐ no

☐ Expanding Educational Services
Using technology ☐ yes ☐ no

☐ Reaching Families and Children
Using technology ☐ yes ☐ no

31. In the space below, summarize the project activities.

32. Certification: _____

Signature of Authorizing Official

Date

Project Budget Form

SECTION 1: DETAILED BUDGET

Year ☐ 1 ☐ 2 ☐ 3 – Budget Period from ____ / ____ / ____ to ____ / ____ / ____

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.3–3.4 BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____	_____

FRINGE BENEFITS

RATE		SALARY BASE	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
TOTAL FRINGE BENEFITS \$			_____	_____	_____	_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	No. OF DAYS (OR HOURS) ON PROJECT	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
TOTAL CONSULTANT FEES \$			_____	_____	_____	_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS \$				_____	_____	_____	_____

Project Budget Form

SECTION 1: DETAILED BUDGET CONTINUED

Year ☐ 1 ☐ 2 ☐ 3

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES, & EQUIPMENT \$		_____	_____	_____	_____

SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL SERVICES COSTS \$		_____	_____	_____	_____

OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL OTHER COSTS \$		_____	_____	_____	_____

TOTAL DIRECT PROJECT COSTS \$	_____	_____	_____	_____
--------------------------------------	-------	-------	-------	-------

INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, page 3.4.)

Applicant organization is using:

- ☐ A. An indirect cost rate which does not exceed 20% of modified total direct costs.
☐ B. Federally Negotiated Indirect Cost Rate (see page 3.4).

Name of Federal Agency

Expiration Date of Agreement

C.	Rate base(s)	Amount(s)		
_____	% of \$	_____	=	\$ _____
_____	% of \$	_____	=	\$ _____
_____	% of \$	_____	=	\$ _____

	IMLS	APPLICANT	PARTNER(S) IF APPLICABLE	TOTAL
TOTAL INDIRECT COSTS CHARGED TO \$	_____	_____	_____	_____

Project Budget Form

SECTION 2: SUMMARY BUDGET

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.3–3.4 BEFORE PROCEEDING.

DIRECT COSTS

	IMLS	Applicant	Partner(s) (if applicable)	Total
SALARIES & WAGES	_____	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____	_____
CONSULTANT FEES	_____	_____	_____	_____
TRAVEL	_____	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____	_____
SERVICES	_____	_____	_____	_____
OTHER	_____	_____	_____	_____
TOTAL DIRECT COSTS	\$ _____	\$ _____	\$ _____	\$ _____
INDIRECT COSTS	\$ _____	\$ _____	\$ _____	\$ _____

TOTAL PROJECT COSTS \$ _____

AMOUNT OF CASH-MATCH \$ _____ \$ _____

AMOUNT OF IN-KIND CONTRIBUTIONS \$ _____ \$ _____

TOTAL AMOUNT OF MATCH (CASH & IN-KIND CONTRIBUTIONS) \$ _____

AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS \$ _____

PERCENTAGE OF TOTAL PROJECT COSTS REQUESTED FROM IMLS _____ %
(MAY NOT EXCEED 50%)

Have you received or requested funds for any of these project activities from another federal agency?
(Please check one) ☐ Yes ☐ No

If yes, name of agency _____

Request/Award amount _____

This sample Schedule of Completion provides sample project activities and a sample timeline for each activity. You need not follow the sample format but should provide the same project information. List each major project activity discussed in the Narrative. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (page 5.4).

Task	Start Month	End Month
Data Requirements	Oct.	Nov.
Design and Pre-test	Nov.	Apr.
Conduct Survey	Jan.	Mar.
Data Analysis	Jan.	Aug.
Web Site	Mar.	June
Teleconference	Mar.	July
Training Institute	Apr.	Aug.
Evaluation	Feb.	Aug.
Conferences	July	Aug.
Training Institute	June	Sept.
Final Report Dissemination	Aug.	Sept.

Grant Processing Information Sheet

ELIGIBILITY REQUIREMENTS

ALL IMLS LEARNING OPPORTUNITIES GRANT APPLICANTS MUST ANSWER THE FOLLOWING QUESTIONS.

Check the appropriate answer.

1. Is the museum organized as a public or private nonprofit institution that exists on a permanent basis for essentially educational or aesthetic purposes?
☐ Yes ☐ No
2. Does the museum care for, and own or use tangible objects, whether animate or inanimate?
☐ Yes ☐ No
3. Are these objects exhibited to the public on a regular basis through facilities the museum owns or operates?
☐ Yes ☐ No
4. Is the museum open and exhibiting to the public at least 120 days a year?
☐ Yes ☐ No
5. Does the museum have at least one full-time paid or unpaid staff member or the equivalent, whose primary duty is the care, acquisition, or exhibition to the public of objects owned or used by the museum?
☐ Yes ☐ No

PRIOR IMLS (FORMERLY IMS) AWARDS

HAS THE MUSEUM RECEIVED A:

- | | | |
|-------------|------------------------------|-----------------------------|
| GOS* grant? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| CPS grant? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| NLG grant? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| SP* grant? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| MAP grant? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| CAP grant? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| MLI* grant? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| TAG* grant? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

** General Operating Support Grants, Special Project Support Grants, and Technical Assistance Grants are no longer available from IMLS. Museum Leadership Grants have been replaced by "Museums in the Community" and are a component of the National Leadership Grants for Museums.*

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. Review the Statement and sign the certification form. If you receive a grant, you must comply with these requirements.

CERTIFICATION OF AUTHORIZING OFFICIAL

(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)

I have examined this application, and I hereby certify on behalf of the applicant organization that

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2003 IMLS application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, nondiscrimination, drug-free workplace, and lobbying activities as set forth in the Assurances statement below.

Should my organization receive a grant, the organization and I will comply with all requirements of the IMLS Grants Regulations (45 CFR Part 1180 et seq.), all statutes outlined below, and all other applicable federal statutes and regulations.

Signature of Authorizing Official

Date

Name and Title of Authorizing Official (printed or typed)

IMLS Regulations are available upon request.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS**FINANCIAL,
ADMINISTRATIVE,
AND LEGAL
ACCOUNTABILITY**

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**FEDERAL
DEBT STATUS**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

**DEBARMENT
AND
SUSPENSION**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
 - (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.
- (A) The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - (1) the dangers of drug abuse in the workplace;
 - (2) the grantee's policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - (1) abide by the terms of the statement; and
 - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
 - (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
 - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
 - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**CERTIFICATION
REGARDING
LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

- The authorizing official certifies, to the best of his or her knowledge and belief that:
- (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
 - (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
 - (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

SUBAGREEMENTS

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:
 - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**NATIVE
AMERICAN
HUMAN
REMAINS
AND
ASSOCIATED
FUNERARY
OBJECTS**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

**HISTORIC
PROPERTIES**

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

**ENVIRONMENTAL
PROTECTIONS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514;
- (b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- (c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- (d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended.
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.); and
- (f) conformity of federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

The authorizing official, on behalf of the applicant, certifies that the project will

**RESEARCH
ON HUMAN
AND
ANIMAL
SUBJECTS**

comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

For further information on these certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Room 609, Washington, DC 20506 or call (202) 606-8539.



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